

You Are the Employer:

A Guide to Hiring and Managing Personal Assistant Services



Module Four

What Does Being an Employer Involve?

YOU ARE THE EMPLOYER

A GUIDE TO HIRING AND MANAGING PERSONAL ASSISTANT SERVICES

Hiring personal assistants may seem overwhelming.

It does not have to be!

This guide was developed to provide you with the skills and resources you need to hire and manage your personal assistants.

Module 1: Identifying Your Needs and Wants

Module 2: Hiring a Personal Assistant

Module 3: Tax Considerations

Module 4: Employer Responsibilities

Module 5: Stress Management

Module 6: Communication Skills

Module 7: Additional Resources

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This guide can be made available in alternate formats upon request.

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LEARNING OBJECTIVES

AFTER COMPLETING MODULE 4, YOU WILL:

- List at least five forms of documentation that are required for personnel files.
- Explain why reviews are necessary and list the steps for how to address disciplinary concerns.
- Describe three safety issues, and define problems of abuse or neglect.
- List the steps in the termination process and give three ways of how to handle individual situations appropriately.

SECTION 1:

INTRODUCTION

Being an employer requires you to have a clear understanding of your responsibilities as a supervisor. This module reviews your responsibilities, which will help you prevent some of the common challenges employers face. This module also explains how to effectively handle problems that do arise.

SECTION 2:

ONGOING DOCUMENTATION

Keeping proper records and personnel information regarding employees is an important employer responsibility. You need to have a clear understanding of what should and should not be included in personnel files, how they should be stored, and for how long. It is also important to know when and to what extent an employee can access personnel records. Maintaining proper ongoing records will enable you to retrieve information about present and previous employees when you need it.

SET UP PERSONNEL FILES

Personnel Files should include employment paperwork, payroll information, periodic reviews, any information on training or skills, employee termination information, and general administrative information regarding the position. A checklist of documents you should include in personnel records can be found at the end of this module.

In addition, some information should be stored separately for each employee. This information includes voluntary medical documentation, disability related information, and any investigative or complaint reports on the employee. Although you may not experience many situations where this information is needed, it is critical to maintain this documentation in case you should need it.

MAINTAIN PERSONNEL FILES

Keep in mind that personnel files must be kept confidential, they should not be shared with anyone unless you have written permission from the employee. Obtain a file cabinet or a storage box to keep files. The file cabinet or storage box should be locked if other people have access to these files when you are not around.

HOW LONG TO KEEP PERSONNEL FILES

It is generally recommended that you keep information for seven years after an employee no longer works with you. You may need to keep files longer depending upon particular waiver requirements. If you are not sure of how long you should keep files, ask someone familiar with the requirements of your funding source.

REVIEWING PERSONNEL FILES

Aside from the employer, only the employee has a right to review his or her personnel file, unless he or she grants permission for someone else to review. Permission should be obtained in writing to ensure confidentiality procedures are followed. Employees have the right to review their personnel file at any time, and can also request copies of items from their files. How you choose to handle this review is up to you, but access has to be provided to the employee. Give employees copies rather than original documents. Protecting confidential paperwork is required and should be taken seriously.



MAINTAINING FILES

Once you finish setting up your personnel files, they will need to be maintained regularly. You may want to keep separate files for specific things that are not required in the personnel files. For example, it may be a good idea to keep I-9 forms on all your employees in alphabetical order in a separate file. That way if they need to be reviewed they are easily accessible.

Documentation of ongoing communication with your employees is useful. This is especially important as it relates to any disciplinary action that occurs. Written warnings should be included in your personnel files, but you will probably find it helpful to have a file with your own notes in it. Do not forget to also record the good things that an employee does in your notes! This will be discussed in more detail in the next section.

KEEP TRACK OF SCHEDULES

In addition to documentation for personnel files and ongoing notes, it is helpful to have a clear schedule in place. In many situations you hire different people for different times of the day. A weekly schedule typically remains the same, but it may change from time to time. For example, one of your assistants may need a day off, and another assistant will be scheduled to substitute. There may also be situations when two of your assistants switch their particular shift with each other. Keeping track of this can get confusing. That's why it is a good idea to keep a written schedule or calendar and give copies to your assistants. This makes it clear who is working for you and when. A sample calendar schedule can be found at the end of this module.

SECTION 3:

PERIODIC REVIEWS

Do you encounter times when your personal assistant is not completing something that is important, has issues with your other employees or household members, or is lacking motivation? As an employer, it is normal for you to encounter these situations from time to time. No one is perfect. We all have bad days, but when it begins to affect work it is important to address the issue as soon as possible.

Addressing problems is often an area we would rather avoid as employers, but it is critical to maintaining a healthy employer-employee relationship. Giving praise to your assistants on a regular basis is equally important to your working relationship. So how do you communicate about problems and also provide praise? One of the best tools to guide you with this is through periodic reviews. In a later module, tools for effective communication will be reviewed in further detail.



USING PERIODIC REVIEWS

Periodic reviews or evaluations are a formal way to discuss the employee's work. A review helps to identify performance concerns, and can also help to increase a personal assistant's morale by sharing the many positive things he or she does for you. They can also be used as a tool to assist the employer and the personal assistant to communicate more effectively. A sample review can be found at the end of this module.

Many employers would rather not complete periodic reviews because the process can be uncomfortable or time consuming, but it is worth it. Poor communication can lead to breakdown in your working relationship, which could result in having to frequently hire new personal assistants - a much more time consuming process than completing a review. To get the most out of your review, make sure you add comments to each section, a review that consists of only numbers is not enough.

The following are suggestions to help you prepare for a review:

- **Look at previous reviews.**
- **Ask your personal assistant to complete the self evaluation (found in the beginning of the sample review). As you complete your review pay attention to this self evaluation to check for any major differences in perceptions.**
- **Review the job description to make sure your review matches the job expectations you discussed when you hired the personal assistant.**
- **Once you complete the evaluation take a further look to be sure everything that is important to you has been included. Also review the tone of the evaluation. Are you providing constructive criticism, rather than giving harsh feedback?**

CONDUCTING A REVIEW

There are a number of things you want to keep in mind when you conduct a review with your personal assistant, these include:





- **Help your assistant feel comfortable, and open to communication.**
- **Be positive!**
- **Meet in a place that provides privacy.**
- **Provide an opportunity for your assistant to express feelings, ideas or additional concerns.**
- **Build on your assistant's strengths, rather than focusing only on weaknesses.**
- **Be specific and give examples of what is positive and what needs to change. Discuss ways these changes can occur.**
- **Try to keep an open mind to what the employee has to say.**
- **Listen!**
- **Make sure you make enough time for discussion, and encourage feedback after each category you are rating.**

A review does not have to be a tedious chore. It can be an opportunity to share ideas, thoughts, and also for personal growth for you and your employee. The more reviews you complete, the easier it will be over time. Even the most experienced employer may want to put this task off for another day. Do not let this happen! Set up a schedule to complete the reviews and stick to the plan.

While a formal review is a great way to provide constructive feedback, this should be an ongoing process. If an issue arises, talk about it. Here are some ways for you to address specific disciplinary problems.

IDENTIFYING DISCIPLINARY ISSUES

There may be times when disciplinary issues occur with your personal assistant. Some examples of concerns that may require disciplinary action are:

-  **Attendance**
Examples of attendance problems include unexcused absence, chronic absenteeism, unexcused or excessive tardiness, and leaving without permission
-  **Poor Performance**
Examples of poor performance include failure to complete work, not providing adequate support, and failure to meet established job requirements
-  **Misconduct**
Examples of misconduct include theft, willfully damaging property, falsifying timesheets or other materials of importance, and putting the employer's health and safety at risk
-  **On-The-Job Behavior Problems**
Examples of on-the-job behavior problems include intoxication or possession of drugs or alcohol, insubordination, carelessness, sexual harassment, sleeping when on duty, and possession of weapons

RESPONDING TO PROBLEMS

If any of these issues or related problems arise, the following suggestions will help you to effectively address them:

- **Address the matter as soon as possible.**
The longer you wait to discuss something, the more widespread the issue may become. Be clear on what the problems are and verify the information before discussing with your assistant.
- **Plan in advance of the meeting.**
Plan what you will say to your assistant. Your conversation should be based upon verified facts.
- **Promptly create a record of the meeting.**
This should include documentation of what was discussed at the meeting, as well as the reactions of the employee.
- **If possible, specify what corrective steps are necessary.**
In some instances it may be necessary to terminate the employee and / or contact the police if there is a criminal offense.



TAKING FORMAL DISCIPLINARY ACTION

Communicating effectively with your personal assistants will help you deal with employment issues that may occur. If further disciplinary action is needed, it is important you are aware of the steps you should take. These steps are as follows:

- **Talk to the Employee**
Explain what is wrong and what changes must occur.
- **A Written Warning**
This may be necessary if the issue is still not resolved after talking to the employee. For example, if the problem is that the assistant is late for work on a frequent basis, state in the warning that further disciplinary action will be taken if the issue is not resolved. Putting this in writing is important should termination need to occur. This shows in writing that you attempted to resolve a problem but that it continued.
- **Proceed with Further Discipline**
This should occur if the problem continues. The discipline should be clearly outlined in the written warning.
- **Talk to Your Employee.**
Be willing to listen to their side. Provide support to help resolve the issue, based on the willingness of the employee. If an employee states they do not want support in resolving the issue, document this by following up with a memo to the employee.
- **Finalize the Action**
Action should be taken through a letter informing the employee of the final decision and the effective date of the discipline. Be consistent from employee to employee. For example, if you fire one person for being late for work more than 5 times, then you must follow the same procedure with other employees in this situation. Be sure that in each step the following occurred: 1) the employee was told what performance is unacceptable, 2) the employee was told what improvement is required, and 3) the employee was given suggestions for accomplishing this improvement.

If termination of employment is needed, be sure you have documented the steps listed above. The termination process will be addressed in more detail later in this module.

SECTION 4 :

SAFETY, ABUSE & NEGLECT

While it is important to trust your assistants and to feel comfortable with them in your home, you also need to be prepared should any safety concerns arise. These may involve problems with stealing, physical safety, and abuse or neglect. Knowing what to look for will help to reduce the likelihood that these incidents will occur. Become familiar with resources that can assist you if you need additional support, or if you experience any of the problems mentioned above.

SAFETY

Being able to identify safety risks is your best defense. Safety issues typically fall into three categories: environmental safety issues, emotional safety issues, and financial safety issues.

Environmental Safety Issues

Includes anything that puts a person's physical safety at risk, including: leaving you in soiled clothing, failing to clean your living environment, leaving a stove unattended, or failing to call your attention to a broken item.

Emotional Safety Issues

Includes anything that could harm a person's emotional well-being. For example, the employer is not permitted to speak for him or herself without the "approval" of the assistant, the assistant exhibits aggressive behavior, creates an atmosphere of social isolation for the employer, or withholds security and attention.

Financial Safety Issues

Issues arise when a person's money is being used or possessions are being taken without his or her knowledge. Financial safety issues can be identified by: unusual activity in bank accounts, ATM cards, or other credit cards; forged signatures on checks; bills that you thought were paid, showing up as unpaid; and the disappearance of personal belongings.

PREVENTION

Noticing when you or your family member may be at risk is the key to prevention. The following list will help to prevent risks to your safety:

1. If you do not feel comfortable for whatever reason with one of your assistants, talk about this immediately with someone you trust.
2. If an assistant is not supporting you in the way you want, communicate with him or her. If nothing changes or if you continue to be uncomfortable with the person, do something about this immediately. Your safety is important!
3. Always have a back-up plan to get the help you need should a problem arise with one of your assistants. Generally this can include assistance for a short period from other support professionals, and from unpaid supports in your life.
4. Never leave anything valuable lying around. Store valuables in a safe place.
5. Do not leave money, check books, or credit cards out. Keep them in a drawer where only you know they are located, or keep them locked up if you do not need access to them very often.
6. Do not provide keys to your house unless it is absolutely necessary. Give keys to a natural or personal support person in your life, such as a relative, or to people you know well and feel comfortable with. Consider getting an external key box such as realtors use that is accessed by a code or combination; this way, you can change it periodically.

These are only a few examples of things you can do to prevent issues from occurring that could impact your safety. Should any of these situations occur seek help immediately from a family member or friend, a case manager or the police. Do not feel like you are trapped and need to jeopardize your safety and well-being for the sake of an assistant. We will now explore when safety issues become abuse or neglect.

ABUSE & NEGLECT

When do issues with your personal assistant become serious? What if you think you or a family member is being hurt by someone who provides you with support? Hopefully these situations will never happen, but it is important that you know how to respond if you experience abuse or neglect from a personal assistant.

First, it is important to know the definitions of abuse and neglect. Abuse means “the willful infliction by a caregiver, of physical pain or injury or the willful deprivation of services necessary to the physical and mental health and safety of an individual. The term also includes the use of offensive language or acts, to provoke or upset an individual or subject him or her to humiliation or ridicule. Willful means the intentional acts or omissions, or the reckless disregard for the safety and consequences of one’s acts or omissions.” Neglect refers to “the failure by a caregiver through action or inaction to provide an individual with the services necessary to maintain his or her physical and mental health and safety....”

Determining what is abuse and neglect can be difficult. When many people think of abuse they think of someone deliberately hurting someone else and neglect as not providing adequate support. Sometimes, however, it can be less obvious. If you are not sure, report your concerns to someone who can help you through the process. If a person’s behavior or a particular situation causes you to feel uncomfortable or unsafe, seek assistance immediately. Feeling uncomfortable is evidence of a problem that needs to be dealt with and feeling unsafe is evidence of a problem that needs to be dealt with right away.

The following are some examples of abuse and neglect:

- **You ask your personal assistant to help you eat breakfast and she refuses, saying she does not want to do this for you.**
- **You ask your personal assistant to help you get dressed and he shouts at you saying you should be grateful he is there at all.**
- **Your personal assistant leaves you in the shower without the support you need, and goes to make a personal phone call.**
- **Your personal assistant tells you to wait to go to the bathroom until she is “ready” to assist you, or when she is done with her personal phone call.**
- **You have a heating pad on you and your personal assistant leaves to go outside and smoke a cigarette or do a personal errand. This causes you to burn your skin.**
- **An accident occurs and you fall out of the lift you use to transfer. Your personal assistant does not address the accident appropriately.**
- **You have a pressure sore on your back from your wheelchair. Your assistant forgets to change the dressing daily.**

RED FLAGS

Red flags are signs that your personal assistant is not working in your best interest, examples include:

- **Your assistant says that he or she will take you to one particular store because then they can do their own personal shopping**
- **Your assistant helps him or herself to food and other items without asking because he or she feels comfortable in your home**
- **Your assistant tells you that he or she does not want to cook dinner and that you should buy dinner instead (for both of you).**
- **Your assistant tells you he or she did the laundry and put it away, but the laundry is still in the dryer later that day.**

The most important thing to remember is that issues of abuse, neglect or red flags need to be addressed. Red flags are often an indication of more serious problems, unless they are dealt with immediately. When you get into a conflict or situation take a closer look at what you may be able to do differently through supervision and communicating your needs. The more you avoid a problem when it occurs, the more it will continue and increase over time. Do not pretend it will go away, because it usually does not go away on its own.

WHEN TO REPORT AN INCIDENT

Your safety is your greatest concern! If you feel someone is abusing you, get help and get away from the person causing abuse as soon as you can. A good rule of thumb is: when in doubt, report it. Ask for support from a family member, friend, neighbor, or case manager. Do not let anyone discourage you from reporting suspected abuse or neglect. It is your right to make the report yourself.

WHERE TO REPORT ABUSE OR NEGLECT

Once you seek support and ensure your personal safety, official reporting is the next step. If the assistant is causing you physical harm, contact the police. Other resources that you may be able to call are as follows:

For anyone who is 17 years old or younger, contact The Department of Children and Families (DCF). The phone number in Connecticut is 1-800-842-2288 or TDD 1-800-624-5518.

If you are an adult who is between 18 and 59 years of age and have an intellectual disability for which you receive services through the Department of Mental Retardation (DMR), contact The Office of Protection and Advocacy (P & A) and your DMR case manager. The phone number in Connecticut for P & A is 1-800-842-7303 or TDD (860) 566-2102.

If you are an adult who is 60 years old or older, contact The Department of Social Services (DSS). The phone number in Connecticut is 1-888-385-4225.

PERSONAL ASSISTANT SUPPORT IF YOU REPORT ABUSE OR NEGLECT

Do not let fear prevent you from doing what is best for you. Remember, your health and safety are paramount, and no one has the right to harm you in any way. The fear of having no one to provide support is what often stops people from reporting abuse or neglect and continuing to allow the assistant to cause harm.

You should only continue to employ an assistant because they provide you with the support you need and want. This reinforces the importance of developing a good back-up support system and natural supports. As mentioned in an earlier module, there are different ways to ensure that your needs are being met. Talk to all of your assistants about whether they can be flexible enough to work for you outside of their normal schedule if an emergency rises. Ask someone in your life to help you plan a back-up support system right from the beginning. Do not wait for an emergency! You can start by sharing the information in this section with your family, friends, or network of support.

PLANNING FOR EMERGENCIES

Most people never think about what would happen to them if a natural disaster or other type of emergency occurs. Relying on an advanced warning is not always possible. Developing a plan ahead of time for yourself and the support you will need will make you better prepared.

There are many resources available through the internet that can provide you with suggestions to help you plan for natural disasters or other emergencies. For example, a resource booklet developed by the Connecticut Developmental Disabilities Network entitled “A Guide for Including People with Disabilities in Disaster Preparedness Planning”, is available at www.uconnucedd.org/disasterpreparedness.html. This resource will provide you with the specific details you need to think about, including how to develop a system for support, identifying your needs, planning for the care of pets, develop a disaster kit to bring with you to a shelter.

It is also helpful to contact the fire and police departments in your town of residence and workplace. Mention that you have a disability, if you have a service animal, and any other vital information they need in order to respond to you in an emergency. Some towns have registries you can be listed on so they are aware of your specific needs. You may also contact the Department of Public Safety in Connecticut to register on their e-911 site. You should have an emergency evacuation plan in place, both at home and work. Let your assistants and support network be aware of these plans. In addition, have emergency medical information readily available through the Vial of Life and a disability-specific inventory also found on the website above.

While it is hopeful the information available in this section will never have to be used, the more you plan for any possible emergency, the safer you will be.

SECTION 5:

TERMINATION & UNEMPLOYMENT ISSUES

Termination of employment is something that every employer will face. Termination can occur as the result of an assistant resigning from their position, or because you need to ask an employee to leave. Either way, the experience can be an emotional and difficult one.

Adjusting to the need to terminate employment for one of your assistants can be challenging. There is often fear of “Am I doing the right thing? What if the next person does not meet my needs the way I need them to as well? What if ...?” Think positively, and realize that you are doing what is best for you. Three of the most common reasons for involuntary termination include: poor performance, termination for cause (e.g. your health or safety is being jeopardized), and a change in need (either long term or short term).



INVOLUNTARY TERMINATION PROCEDURES

Before terminating your assistant's employment, think about your concerns carefully and sort through the documentation you have. Unless you need to terminate employment as a result of violence, criminal behavior, or anything that puts your health or safety at risk, do not act immediately. Do not let your emotions be the deciding factor; look at the decision objectively. These five important tips can help to make this transition a smoother process for both you and your personal assistant:

- **Explain to your assistant why he or she is no longer able to continue working with you. State the facts, even though it may be uncomfortable to do so.**
- **Explain that the decision is final and when his or her last day will be.**
- **If safety is not at risk, listen to the employee, and offer support in helping him or her locate another job by providing references or other information that will be helpful.**
- **Keep the information discussed confidential.**
- **Do not argue with the assistant. Seek support from someone else you feel comfortable with if needed. If there is a safety concern, it is a good idea to have another person in the room when terminating (or disciplining) an employee.**

EVICTON ISSUES

When you have a live-in personal assistant, terminating employment can be more complex. You are required to provide additional documentation, which frequently makes eviction a long, drawn-out process. The good news is that most states have statutes that govern the process.

Connecticut General Statutes provide a law which states that people with disabilities do NOT have to go through Housing Court in order to evict a personal assistant from their dwelling. The statute is as follows:

VOLUME 12 TITLE 47a LANDLORD AND TENANT

Chapter 830 (Secs. 47a-1 to 47a-20a)

Rights and Responsibilities of Landlord and Tenant

Sec. 47a-2. Arrangements exempted from application of title.....(6) occupancy by a personal care assistant or other person who is employed by a person with a disability to assist and support such disabled person with daily living activities or housekeeping chores and is provided dwelling space in the personal residence of such disabled person as a benefit or condition of such employment.

This statute allows you to evict a personal assistant immediately, rather than go through the regular lengthy eviction process. This will provide you with the ability to get the assistance you need right away. It is recommended that if you need additional support in terminating employment and asking your assistant to leave your home, you should seek help from someone who can provide you with legal advice. In addition, keep in mind that if the person who assists you is also paying rent to you, this may require you to follow procedures to evict someone through housing court. The statute above only addresses personal assistants who live in your home and provide you with support in exchange for a room, utilities, etc. Therefore, you may want to keep this in mind as you set up your plan for support. It may be helpful to contact someone who understands the law and can assist you with your specific situation.

If you decide to evict a live-in personal assistant and contact the police, make sure you have a copy of the law mentioned above to refer to. This portion of the statute is relatively new in the State of Connecticut. Some police departments and others you may seek help from might not be aware of it.

UNEMPLOYMENT ISSUES

There may be times you will be required to work with the Department of Labor and the unemployment office after one of your employees leaves. If this occurs, the more documentation you have to present, the better. The Department of Labor addresses the following types of termination as they apply to unemployment benefits:



Voluntary Quit

As an employer you will not be required to pay unemployment benefits if your assistant leaves voluntarily and “without good cause attributable to the employer.”



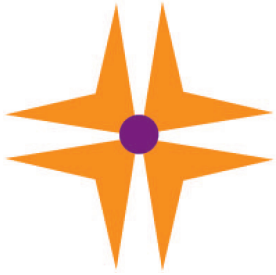
Discharge

As an employer you will not be required to pay unemployment if your assistant is discharged for “willful misconduct.” Any conduct that includes larceny of property or service whose value exceeds \$25.00, or larceny of currency regardless of value. “Willful misconduct” includes disregard of your best interest, or a single violation of “a reasonable and uniformly enforced rule” made by you as the employer.



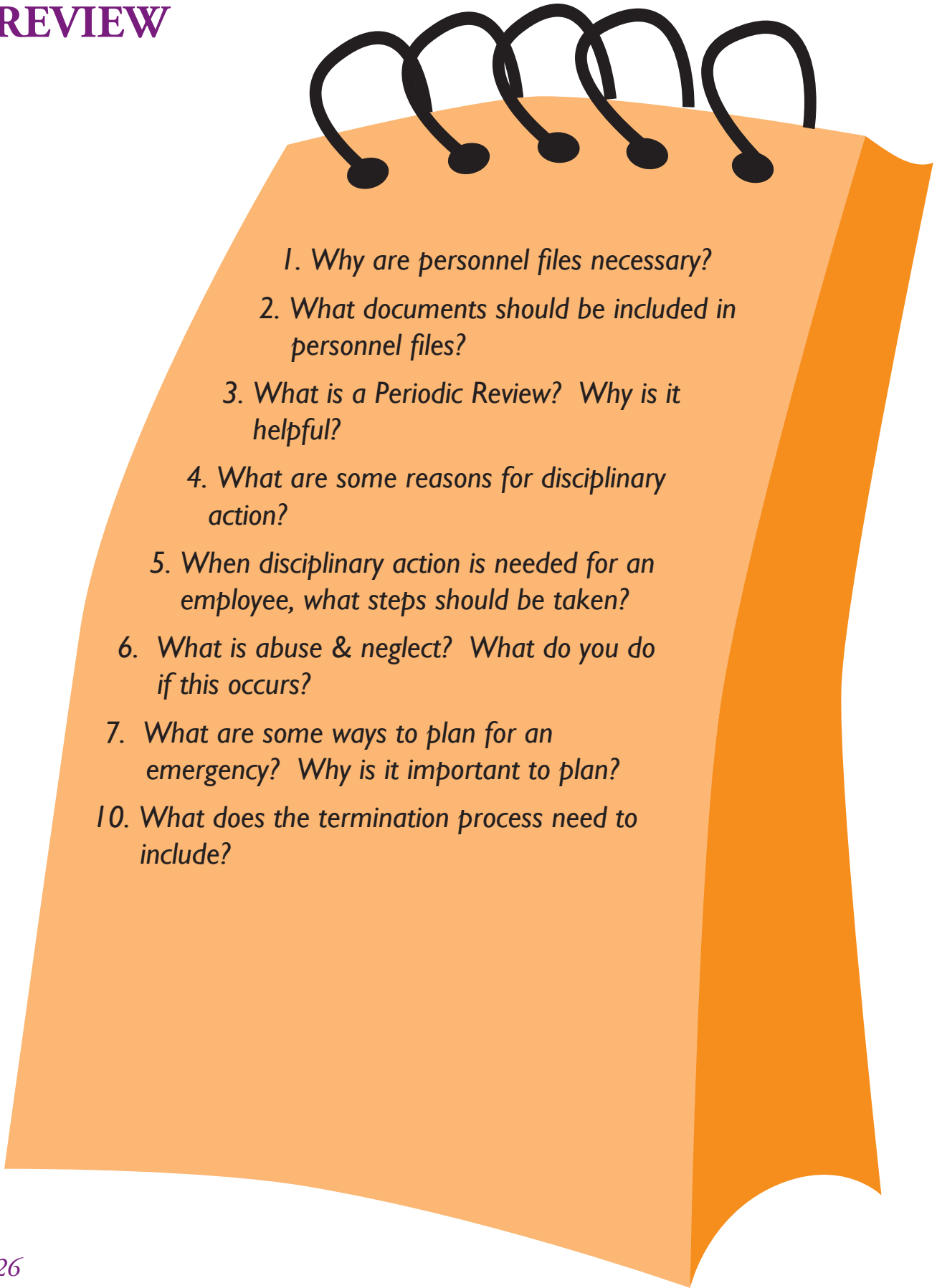
Additional Reasons

The Administrator of Unemployment Compensation is responsible for determining additional reasons for denial of unemployment benefits. The most important thing to keep in mind is that documentation, letters of warnings, and any information showing that you attempted to resolve the issue prior to termination is extremely helpful. Without documentation, it may be difficult for you to prove “willful misconduct” or a violation of a “reasonable and uniformly enforced rule.”



If you would like further information on this topic, or need support with a particular situation, there are people who can assist you. The best place to start is at the website for the Department of Labor. The website provides a variety of information that may answer your questions, as well as contact information for additional support. The website for the Department of Labor is: <http://www.ctdol.state.ct.us>. In addition, a packet for Separation Information can be found at the end of this module. The most important thing to remember from this section and with the hiring process in general is the importance of documentation. The more organized you are, and the more information that you have, the easier it will be.

REVIEW

- 
1. Why are personnel files necessary?
 2. What documents should be included in personnel files?
 3. What is a Periodic Review? Why is it helpful?
 4. What are some reasons for disciplinary action?
 5. When disciplinary action is needed for an employee, what steps should be taken?
 6. What is abuse & neglect? What do you do if this occurs?
 7. What are some ways to plan for an emergency? Why is it important to plan?
 10. What does the termination process need to include?

DEFINITIONS

Personnel files - Paperwork that includes, payroll information, periodic reviews, any information on training or skills, employee termination information, general administrative information regarding the position.

Periodic review - A tool to identify performance concerns and recognize areas that should receive praise. This process helps the employer and the personal assistant to communicate more effectively.

Disciplinary action - A process used when problems arise with an employee that need to be discussed and resolved. Some examples of issues that require action include attendance, poor performance, or misconduct.

Abuse - Willful infliction of physical pain, injury or deprivation to the physical health, mental health, and safety of an individual. This includes using offensive language or acts to provoke, humiliate, or upset an individual.

Willful - Intentional actions in a reckless manner that disregards the health, safety, and well-being of a person.

Neglect - The failure by a caregiver to provide an individual, either through action or inaction, with the services necessary to maintain his or her physical health, mental health, and safety.

Involuntary termination - Process an employer uses to terminate employment due to an issue that impacts an employee's ability to work effectively (e.g. poor performance).

Termination for Cause - Process an employer uses to terminate employment due to an issue where your health and safety is jeopardized as a result of the employee's work.

Voluntary Quit - Process an employee uses to terminate employment, when he or she leaves voluntarily. If this occurs, he or she will not be able to collect unemployment benefits.



4

SAMPLE DOCUMENTS

PERSONAL ASSISTANT SCHEDULE FOR WEEK OF _____

Monday		Tuesday	
Time of Shift	PA Scheduled	Time of Shift	PA Scheduled
Wednesday		Thursday	
Time of Shift	PA Scheduled	Time of Shift	PA Scheduled
Friday		Saturday/Sunday	
Time of Shift	PA Scheduled	Time of Shift	PA Scheduled

PERSONAL ASSISTANT SCHEDULE FOR WEEK OF _____

Time of Shift	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
	PA	PA	PA	PA	PA	PA	PA
	PA	PA	PA	PA	PA	PA	PA
	PA	PA	PA	PA	PA	PA	PA
	PA	PA	PA	PA	PA	PA	PA
	PA	PA	PA	PA	PA	PA	PA
	PA	PA	PA	PA	PA	PA	PA
	PA	PA	PA	PA	PA	PA	PA
	PA	PA	PA	PA	PA	PA	PA
	PA	PA	PA	PA	PA	PA	PA

PERSONNEL FILE CHECKLIST

General Employment Data

- ☐ Job Posting
- ☐ Completed Initial Employment Application
- ☐ Resume
- ☐ Signed Release of Information Forms
- ☐ Offer/Acceptance Letter
- ☐ Job Description
- ☐ Interview Questions/Responses
- ☐ Completed Rating Sheet
- ☐ Employee Agreement Form
- ☐ Required Forms Depending Upon Funding Source
- ☐ Emergency Contact Form

Payroll Information

- ☐ Federal W-4
- ☐ CT W-4
- ☐ I-9 Form
- ☐ Tax Information at the End of the Year (W-2)
- ☐ Other Payroll Information (i.e. unemployment, wage garnishments, etc.)
- ☐ Weekly Timesheets Completed and Signed
- ☐ Any other Payroll Correspondences

Performance Evaluations & Paperwork

- ☐ Performance Evaluations
- ☐ Attendance Information
- ☐ Any Written Information Regarding Disciplinary Action
- ☐ Letters/Forms Provided to Employee
- ☐ Individual Notes That Can Be Accessed

Termination Information

- ☐ Record of Reason for Termination
- ☐ Resignation Letter (if applicable)
- ☐ Termination Letter (if applicable)
- ☐ Unemployment Information / Forms (if applicable)

This information should only be used as a guide. It provides you with a list of information that may be important for you to keep and refer to as needed. If you have any additional questions, it is helpful to discuss this further with a case manager or tax professional. Keep in mind, however, that organized information is very important. The more information the better!

PERIODIC REVIEW FORM FOR PERSONAL ASSISTANTS

Name:

Date:

Period Covered: from:

to:

Type of Review: ☐ quarterly ☐ semi-annual

Categories:

5 - Exceptional

Outstanding achievement, above and beyond the job requirements; employee exceeds all performance expectations on a consistent basis throughout the assessment period.

4 - Exceeds Expectations

Employee regularly works beyond most of the performance expectations for this factor; results are of consistently high quality and are achieved on a constant basis.

3 - Meets Expectations

Employee consistently meets the job requirements for this factor; employee can be depended upon, consistently attains results and is fully experienced and qualified to handle assignments.

2 - Needs Improvement

Inconsistent in meeting job requirements; improvement is needed to meet full job requirements.

1 – Unsatisfactory

Consistently falls below expectations; major improvement needed to meet basic job requirements.

SELF-EVALUATION FOR PERSONAL ASSISTANTS

(ATTACH ADDITIONAL PAGES IF NEEDED)

1. Thinking about your support role and the job performance criteria in this evaluation, what are you most proud of? What do you feel you do exceptionally well?

2. Are there professional areas you feel weak in, and why? What would be helpful to further develop these skills?

3. What part of your job did you find most challenging this year? Why? How did you resolve it?

4. What can your employer do to help you be more effective in your work?

Additional comments:

Employee: _____

Date: _____

Employee: _____

Date: _____

GOAL ACHIEVEMENT

5 – Exceptional 4 - Exceeds Expectations 3 - Meets Expectations 2 - Needs Improvement 1 – Unsatisfactory	5	4	3	2	1
Demonstrates high quality standards					
Comments:					
Uses decision making skills effectively					
Comments:					
Meets deadlines					
Comments:					
Total:					

JOB ABILITIES AND OVERALL PERFORMANCE

5 – Exceptional 4 - Exceeds Expectations 3 - Meets Expectations 2 - Needs Improvement 1 – Unsatisfactory	5	4	3	2	1
Experience, Knowledge and Skills -					
Demonstrates knowledge and skills required to successfully accomplish all job requirements. Comments:					
Quality of Work -					
Work is consistent, organized, accurate, and of superior quality. Comments:					
Quantity of Work -					
Able to produce a high volume of assigned work without sacrificing consistency of output. Comments:					

JOB ABILITIES AND OVERALL PERFORMANCE (CONTINUED)

5 – Exceptional 4 - Exceeds Expectations 3 - Meets Expectations 2 - Needs Improvement 1 – Unsatisfactory	5	4	3	2	1
Creativity, Flexibility and Initiative -					
Contributes new ideas; finds new and better methods; adapts to changing needs and processes; self-directed in completing assignments. Comments:					
Problem Solving and Judgment -					
Uses a logical, rational approach to solving problems; seeks additional information when necessary; makes timely, appropriate responses. Comments:					
Planning and Organizational Skills -					
Meets deadlines; able to perform a variety of tasks within the scope of the job. Comments:					
Communication -					
Able to express and receive ideas effectively; shares appropriate information; possesses effective listening and meeting skills; asks questions when unsure about assigned tasks. Comments:					
Cooperation and Commitment –					
Supports employer's goals and endeavors; builds and maintains relationships needed to effectively address work problems and opportunities; works to resolve conflicts; willingly accepts assigned tasks. Comments:					

JOB ABILITIES AND OVERALL PERFORMANCE *(CONTINUED)*

5 – Exceptional 4 - Exceeds Expectations 3 - Meets Expectations 2 - Needs Improvement 1 – Unsatisfactory	5	4	3	2	1
Reliability –					
Can be depended upon to be at work on time and as scheduled; fulfills position responsibilities; reports changes to supervisor promptly; meets deadlines. Comments:					
Total:					

SUMMARY *(USE ADDITIONAL SHEETS IF NECESSARY)*

Greatest Strengths:

Areas in Need of Improvement:

Other comments:

Overall Score

Total, Goal Achievement Section (3 criteria)	
Total, Job Abilities and Overall Performance Section (9 criteria)	
AVERAGE, ALL SCORES	

Employee Comments *(attach additional sheets if needed)*

Employee: _____

Date: _____

Employee: _____

Date: _____

Signature by employee acknowledges meeting with Supervisor has occurred, and does not necessarily indicate agreement with this assessment.



The University of Connecticut
A.J. Pappanikou Center for Excellence
In Developmental Disabilities
Education, Research and Service